

07-16-01

A



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No: 30203/37265



PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53

**Box Patent Application
Commissioner for Patents
Washington, D.C. 20231**

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Roger L. Frick and Charles R. Willcox

Title: INTEGRATED TRANSPARENT SUBSTRATE AND DIFFRACTIVE OPTICAL ELEMENT

1. Type of Application

- ☒ This is a new application for a
- ☒ utility patent.
 - ☐ design patent.
- ☒ This application is based on Provisional Applications Serial Nos. 60/223,503, filed August 7, 2000; 60/223,508, filed August 7, 2001; and 60/271,103, filed February 23, 2001.

2. Application Papers Enclosed

- 1 Title Page
- 14 Pages of Specification (excluding Claims, Abstract, Drawings & Sequence Listing)
- 7 Page(s) of Claims
- 1 Page(s) of Abstract
- 8 Sheet(s) of Drawings (Figs. 1 to 8)
 - ☐ Formal
 - ☒ Informal
- 0 Page(s) of Sequence Listing

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **July 13, 2001**, in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL564458469US.

Paul B. Stephens

TOE 20 69250660

3. Declaration or Oath

- ☐ Enclosed
 - ☐ Executed by (check all applicable boxes)
 - ☐ Inventor(s)
 - ☐ Legal representative of inventor(s)
(37 CFR 1.42 or 1.43)
 - ☐ Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached
 - ☐ The petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 are enclosed.
See Item 5D below for fee.
- ☒ Not enclosed - the undersigned attorney or agent is authorized to file this application on behalf of the applicant(s). An executed declaration will follow.

4. Small Entity Status

- ☐ Applicant claims small entity status. See 37 CFR 1.27.
- ☐ A small entity statement is(are) attached.

5. Additional Papers Enclosed

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Declaration of Biological Deposit
- ☐ Computer readable copy of sequence listing containing nucleotide and/or amino acid sequence
- ☐ Microfiche computer program
- ☐ Associate Power of Attorney
- ☐ Verified translation of a non-English patent application
- ☐ An assignment of the invention
- ☐ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
- ☒ Return receipt postcard
- ☐ Other

6. Priority Applications Under 35 USC 119

Copies of applications from which priority under 35 USC 119 is claimed are listed below and

☐ are attached.

☒ will follow.

| COUNTRY | APPLICATION NO. | FILED |
|---------------|-----------------|-------------------|
| United States | 60/223,503 | August 7, 2000 |
| United States | 60/223,508 | August 7, 2000 |
| United States | 60/271,103 | February 23, 2001 |

7. Filing Fee Calculation (37 CFR 1.16)

A. ☒ Utility Application

| CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT (IF ANY) | | | | | | |
|---|-----------|-----------|--------------|----------|---------------------------|-----------|
| | | | SMALL ENTITY | | OTHER THAN A SMALL ENTITY | |
| | NO. FILED | NO. EXTRA | RATE | FEE | RATE | FEE |
| BASIC FEE | | | | \$355.00 | | \$710.00 |
| TOTAL | 46-20 | = 26 | X 9 = | \$0 | X 18 = | \$468.00 |
| INDEP. | 4-3 | = 1 | X 40 = | \$0 | X 80 = | \$80.00 |
| <input type="checkbox"/> First Presentation of Multiple Dependent Claim | | | + 135 = | \$0 | + 270 = | \$0.00 |
| Filing Fee: | | | | \$0 | OR | \$1258.00 |

B. ☐ Design Application (\$160.00/\$320.00) Filing Fee: \$ _____

C. ☐ Plant Application (\$245.00/\$490.00) Filing Fee: \$ _____

D. Other Fees

☐ Recording Assignment [Fee -- \$40.00 per assignment] \$ _____

☐ Petition fee for filing by other than all the inventors
or person on behalf of the inventor where inventor refused
to sign or cannot be reached [Fee -- \$130.00] \$ _____

☐ Other \$ _____

Total Fees Enclosed \$1204.00

8. Method of Payment of Fees

- ☒ Enclosed check in the amount of: \$1204.00
- ☒ Charge Deposit Account No. 13-2855 in the amount of: \$54.00
A copy of this Transmittal is enclosed.
- ☐ Not enclosed

9. Deposit Account and Refund Authorization

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-2855. A copy of this Transmittal is enclosed.

Please refund any overpayment to Marshall, O'Toole, Gerstein, Murray & Borun at the address below.

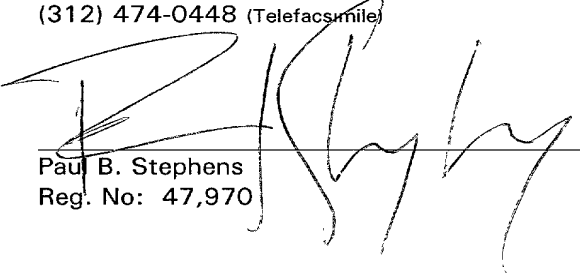
10. Correspondence Address

Customer No.: 04743

Respectfully submitted,

MARSHALL, O'TOOLE, GERSTEIN,
MURRAY & BORUN
6300 Sears Tower
233 South Wacker Drive
Chicago, Illinois 60606-6402
(312) 474-6300
(312) 474-0448 (Telefacsimile)

By:


Paul B. Stephens
Reg. No: 47,970

July 13, 2001